

Docket No. 215930US99

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

IN RE APPLICATION OF: DIRK C. JORDAN ET AL

SERIAL NO: 09/986,899

FILED: NOVEMBER 13, 2001

FOR: STRUCTURE AND METHOD FOR FABRICATING SEMICONDUCTOR STRUCTURES AND DEVICES  
UTILIZING THE FORMATION OF A COMPLIANT SUBSTRATE HAVING A NIOBIUM CONCENTRATION

GAU:

2814

EXAMINER: WILLE

INFORMATION DISCLOSURE STATEMENT UNDER 37 CFR 1.97

ASSISTANT COMMISSIONER FOR PATENTS  
WASHINGTON, D.C. 20231

SIR:

Applicant(s) wish to disclose the following information.

REFERENCES

- ☒ The applicant(s) wish to make of record the references listed on the attached form PTO-1449. Copies of the listed references were submitted in application Serial No. 09/908,888 according to the attached copy of a Granted Petition. This application contains related subject matter.
- ☒ A check is attached in the amount required under 37 CFR §1.17(p).

RELATED CASES

- ☐ Attached is a list of applicant's pending application(s) or issued patent(s) which may be related to the present application. A copy of the patent(s), together with a copy of the claims and drawings of the pending application(s) is attached along with PTO 1449.
- ☐ A check is attached in the amount required under 37 CFR §1.17(p).

CERTIFICATION

- ☐ Each item of information contained in this information disclosure statement was first cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this statement.
- ☐ No item of information contained in this information disclosure statement was cited in a communication from a foreign patent office in a counterpart foreign application or, to the knowledge of the undersigned, having made reasonable inquiry, was known to any individual designated in 37 CFR §1.56(c) more than three months prior to the filing of this statement.

DEPOSIT ACCOUNT

- ☒ Please charge any additional fees for the papers being filed herewith and for which no check is enclosed herewith, or credit any overpayment to deposit account number 15-0030. A duplicate copy of this sheet is enclosed.

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Respectfully submitted,

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MAIER & NEUSTADT, P.C.

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Registration No. 36,379



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Form PTO 1449  
(Modified)U.S. DEPARTMENT OF COMMERCE  
PATENT AND TRADEMARK OFFICE

ATTY DOCKET NO.

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## LIST OF REFERENCES CITED BY APPLICANT

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## U.S. PATENT DOCUMENTS

EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUB CLASS	FILING DATE IF APPROPRIATE
	UT	5,528,209	06/18/96	Macdonald et al.			
	UV	5,998,781	12/07/99	Vawter et al.			
	UW	6,110,813	08/29/00	Ota et al.			
	UX	6,452,232 B1	09/17/02	Adan			
	UY	6,049,110	04/11/00	Koh			
	UZ	5,559,368	09/24/96	Hu et al.			
	VA	6,392,253 B1	05/21/02	Saxena			
	VB	5,585,288	12/17/96	Davis et al.			
	VC	5,268,327	12/07/93	Vernon			
	VD	6,198,119 B1	03/06/01	Nabatame et al.			
	VE	6,113,225	09/05/00	Miyata et al.			
	VF	5,262,659	11/16/93	Grudkowski et al.			
	VG	6,239,012 B1	05/29/01	Kinsman			
	VH	6,297,598	10/02/01	Wang et al.			
	VI	2002/140012	10/03/02	Droopad			
	VJ	4,866,489	09/12/89	Yokogawa et al.			
	VK	6,080,378	06/27/00	Yokota et al.			
	VL	5,508,554	04/16/96	Takatani et al.			
	VM	6,477,285 B1	11/05/02	Shanley			
	VN	4,695,120	09/22/87	Holder			
	VO	5,882,948	03/16/99	Jewell			
	VP	5,574,589	11/12/96	Feuer et al.			
	VQ	5,510,665	04/23/96	Conley			
	VR	4,804,866	02/14/89	Akiyama			
	VS	5,057,694	10/15/91	Idaka et al.			
	VT	5,635,453	06/03/97	Pique et al.			
	VU	5,719,417	02/17/98	Roeder et al.			
	VV	5,998,819	12/07/99	Yokoyama et al.			

Examiner

Date Considered

\*Examiner: Initial if reference is considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

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EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUB CLASS	FILING DATE IF APPROPRIATE
	VW	2002/0079576	06/27/02	Seshan			
	VX	5,148,504	09/15/92	Levi et al.			
	VY	2002/0195610 A1	12/26/02	Klosowiak			
	VZ	5,477,363	12/19/95	Matsuda			
	WA	5,905,571	05/18/99	Butler et al.			
	WB	5,570,226	10/29/96	Ota			
	WC	5,087,829	02/11/92	Ishibashi et al.			
	WD	2001/0020278 A1	09/06/01	Saito			
	WE	6,496,469 B1	12/17/02	Uchizaki			
	WF	5,679,947	10/21/97	Doi et al.			
	WG	2001/0036142 A1	11/01/01	Kadowaki et al.			
	WH	5,446,719	08/29/95	Yoshida et al.			
	WI	5,831,960	11/03/98	Jiang et al.			
	WJ	5,693,140	12/02/97	McKee et al.			
	WK	6,376,337 B1	04/23/02	Wang et al.			
	WL	4,177,094	12/04/79	Kroon			
	WM	5,216,359	06/01/93	Makki et al.			
	WN	6,307,996 B1	10/23/01	Nashimoto et al.			
	WO	5,371,621	12/06/94	Stevens			
	WP	2002/0145168 A1	10/10/02	Bojarczuk, Jr et al.			
	WQ	3,617,951	11/02/71	Anderson			
	WR	5,838,053	11/17/98	Bevan et al.			
	WS	5,684,302	11/04/97	Wersing et al.			
	WT	5,959,308	09/28/99	Shichijo et al.			
	WU	5,362,972	11/08/94	Yazawa et al.			
	WV	5,864,171	01/26/99	Yamamoto et al.			
	WW	5,028,563	07/02/91	Feit et al.			
	WX	5,937,115	08/10/99	Domash			

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	WY	5,878,175	03/02/99	Sonoda et al.			
	WZ	4,801,184	01/31/89	Revelli			
	XA	5,140,387	08/18/92	Okazaki et al.			
	XB	5,410,622	04/25/95	Okada et al.			
	XC	6,064,783	05/16/00	Congdon et al.			
	XD	5,772,758	06/30/98	Collins et al.			
	XE	5,666,376	09/09/97	Cheng			
	XF	5,976,953	11/02/99	Zavracky et al.			
	XG	5,578,162	11/26/96	D'Asaro et al.			
	XH	5,585,167	12/17/96	Satoh et al.			
	XI	5,674,813	10/07/97	Nakamura et al.			
	XJ	5,574,296	11/12/96	Park et al.			
	XK	6,504,189	01/07/03	Matsuda et al.			
	XL	5,987,196	11/16/99	Noble			
	XM						
	XN						
	XO						
	XP						
	XQ						
	XR						
	XS						
	XT						
	XU						
	XV						
	XW						
	XX						
	XY						
	XZ						

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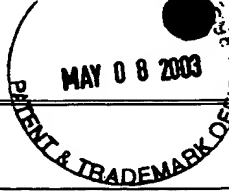
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## FOREIGN PATENT DOCUMENTS

		DOCUMENT NUMBER	DATE	COUNTRY	TRANSLATION	
					YES	NO
	CBC	EP 1 035 759	09/13/00	Europe		
	CBD	EP 0 860 913	08/26/95	EUROPE		
	CBE	5-232307	09/10/93	JAPAN W/ENGLISH ABSTRACT		
	CBF	5-243525	09/31/93	JAPAN W/ENGLISH ABSTRACT		
	CBG	3-171617	07/25/91	JAPAN W/ENGLISH ABSTRACT		
	CBH	EP 1 089 338	04/04/01	EUROPE		
	CBI	01 294594	11/28/99	JAPAN (ABSTRACT)		
	CBJ	05 221800	08/31/93	JAPAN (ABSTRACT)		
	CBK	03-149882	11/07/89	JAPAN		
	CBL	0 614 256	09/07/94	EUROPE		
	CBM	1 054 442	11/22/00	EUROPE		
	CBN	0 852 416	07/08/98	EUROPE		
	CBO	WO 02/08806	01/31/02	WIPO		
	CBP	WO 01/59837	08/16/01	WIPO		
	CBQ	62-245205	10/26/87	JAPAN W/ENGLISH ABSTRACT		
	CBR	0 600 658	06/08/94	EUROPE		
	CBS	0 412 002	02/06/91	EUROPE		
	CBT	2000-349278	12/15/00	JAPAN (ENGLISH ABSTRACT)		
	CBU	01-196809	08/08/89	JAPAN (ENGLISH ABSTRACT)		
	CBV	0 619 283	10/12/94	EUROPE		
	CBW	0 661 561	07/05/95	EUROPE		
	CBX	0 331 338	09/06/89	EUROPE		
	CBY					
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LIST OF REFERENCES CITED BY APPLICANT		APPLICANT Dirk C. JORDAN, et al.	
		FILING DATE November 13, 2001	GROUP 2814
OTHER REFERENCES (Including Author, Title, Date, Pertinent Pages, etc.)			
	KKAO	Charles Kittel; "Introduction to Solid State Physics"; John Wiley & Sons, Inc. Fifth Edition; pp. 415	
	KKAP	Chyuan-Wei Chen et al.; "Liquid-phase epitaxial growth and characterization of InGaAsP layers grown on GaAsP substrates for application to orange light-emitting diodes"; 931 Journal of Applied Physics; 77 (1995) 15 January, No. 2; Woodbury, NY, US; pp. 905-909	
	KKAQ	W. Zhu et al.; "Oriented diamond films grown on nickel substrates"; 320 Applied Physics Letters; 63(1993) September, No. 12, Woodbury, NY, US; pp. 1640-1642	
	KKAR	M. Schreck et al.; "Diamond/Ir/SrTiO <sub>3</sub> : A material combination for improved heteroepitaxial diamond films"; Applied Physics Letters; Vol. 74, No. 5; February 1, 1999; pp. 650-652	
	KKAS	Yoshihiro Yokota et al.; "Cathodoluminescence of boron-doped heteroepitaxial diamond films on platinum"; Diamond and Related Materials 8(1999); pp. 1587-1591	
	KKAT	J.R. Busch et al.; "LINEAR ELECTRO-OPTIC RESPONSE IN SOL-GEL PZT PLANAR WAVEGUIDE"; Electronics Letters; 13th August 1992; Vol. 28, No. 17; pp. 1591-1592	
	KKAU	R. Droopad et al.; "Epitaxial Oxide Films on Silicon: Growth, Modeling and Device Properties"; Mat. Res. Soc. Symp. Proc. Vol. 619; 2000 Materials Research Society; pp. 155-165	
	KKAV	H. Ohkubo et al.; "Fabrication of High Quality Perovskite Oxide Films by Lateral Epitaxy Verified with RHEED Oscillation"; 2419A Int. Conf. on Solid State Devices & Materials, Tsukuba, August 26-28 (1992); pp. 457-459	
	KKAW	Lin Li; "Ferroelectric/Superconductor Heterostructures"; Materials Science and Engineering; 29 (2000) pp. 153-181	
	KKAX	L. Fan et al.; "Dynaamic Beam Switching of Vertical-Cavity Surface-Emitting Lasers with Integrated Optical Beam Routers"; IEEE Photonics Technology Letters; Vol. 9, No. 4; April 4, 1997; pp. 505-507	
	KKAY	Y. Q. Xu. et al.; "(Mn, Sb) dropped-Pb(Zr,Ti)O <sub>3</sub> infrared detector arrays"; Journal of Applied Physics; Vol. 88, No. 2; 15 July 2000; pp. 1004-1007	
	KKAZ	Kiyoko Kato et al.; "Reduction of dislocations in InGaAs layer on GaAs using epitaxial lateral overgrowth"; 2300 Journal of Crystal Growth 115 (1991) pp. 174-179; December 1991	
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	LLAC		
	LLAD		
	LLAE		
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